



Filing ID #10026952

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. Mo Brooks  
**Status:** Member  
**State/District:** AL05

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2018  
**Filing Date:** 05/12/2019

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Alabama S OID [GS]	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Alpha Pro Tech, Ltd. (APT) [ST]	JT	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
American New Perspective [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
American New Perspective C [MF]	JT	\$50,001 - \$100,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
American New Perspective F2 [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
American Tax-Advantages Inc. [MF]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Apple Inc. (AAPL) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
AT&T Inc. (T) [ST]	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Ava Maria Rising Dividend [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Baldwin County AL Genl Oblg Wts [GS]	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Berkshire Hathaway Inc. New (BRK.B) [ST]	JT	\$50,001 - \$100,000	Dividends	None	<input checked="" type="checkbox"/>
Charles Schwab Corporation (SCHW) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Clearbridge Special Inv. Tr 1 [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Coca-Cola Company (KO) [ST]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Columbia Contrarian Core C [MF]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Columbia Contrarian Core Z [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Decatur Ala City Brd Ed Spl Tax Sch [GS]	JT	None	Capital Gains, Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Decatur Ala Swr Rev Wts [GS]	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Duke Energy Corporation (DUK) [ST]	JT	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Duke Energy Corporation (DUK) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Duke Energy Corporation (DUK) [ST]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Etowah Cnty Ala Brd Ed Cap Outlay [GS]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
First Eagle Global [MF]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Forney TX Indpt Sch Dist Ref [GS]	JT	\$1,001 - \$15,000	Interest	None	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
General Dynamics Corporation (GD) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Homewood Ala City Brd Ed Spl Tax Sch Wts Rev [GS]	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Huntsville AL Genl Oblig Warrants Ref-A [GS]	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Huntsville-Redstone Village Bonds [GS]	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Ishares S&P US PFD STK IDX FD [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Lee Enterprises, Incorporated (LEE) [ST]	JT	\$15,001 - \$50,000	Dividends	None	<input checked="" type="checkbox"/>
Lee Enterprises, Incorporated (LEE) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Legg Mason Opportunity Trust Mutual Fund [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Lord Abbett High Yied C [MF]	JT	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Managers AMG Yacktman Svc [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Marriott International - Class A (MAR) [ST]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Mastercard Incorporated (MA) [ST]	JT	\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Menlo Pk Calif City Sch Dist Ref OY 4.24 [GS]	JT	\$15,001 - \$50,000	Interest	None	<input type="checkbox"/>
Mobile Cnty Ala Brd Sch Commrs Cap [GS]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Montevallo Ala Amern Vlg Pub Edl Bldg A OID [GS]	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Morgan Stanley Bank N. A. [BA]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Morgan Stanley Private Bank [BA]	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Morgan Stanley Private Bank [BA]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
North Carolina Cap Facs Fin Agy Duke Univ Pj Rev-Bj [GS]	JT	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
North Carolina Med Care Commn Health Car [GS]	JT	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Oakmark I [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Oakmark International I [MF]	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Pennsylvania Higher Edu FACS Auth Rev Ref-A [GS]	JT	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Phenix City Al Sch Wts Genl Oblig [GS]	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Pike Road Al OID [GS]	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Putnam Diversified Inc. Tr C [MF]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Redstone Federal Credit Union [BA]	JT	\$50,001 - \$100,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Royce Special EQ Multicap Cons [MF]	JT	None	None		<input checked="" type="checkbox"/>
Royce Total Return Con [MF]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	None	<input checked="" type="checkbox"/>
Royce Total Return Inv [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
RS Large Cap Alpha Fund Class A [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Seadrill Partners LLC Common Units Representing Limited	JT	\$1 - \$1,000	Dividends	\$1 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Liability Company Interests (SDLP) [ST]				\$200	
SPDR S&P Dividend [EF]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Spectra Energy Capital LLC [CS]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: This entity was listed as Duke Capital Corp Bonds in last year's report, but changed its name to Spectra Energy Capital LLC in July 2018.					
The Southern Company Bonds [CS]	JT	\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Corporate bonds					
Tucows Inc. (TCX) [ST]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Vanguard Total Intl Stock ETF [EF]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	<input type="checkbox"/>
VANGUARD TOTAL INTL STOCK ETF [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Vanguard TTL STK MKT ETF [EF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Vanguard TTL WRLD STL INDX [EF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Vanguard Wellesley Inc INV [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Vanguard Wellesley Inc. Inv [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Victory Cemp US Eq Income [MF]	JT	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
W.P. Carey Inc. REIT (WPC) [ST]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

\* For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

## SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Alpha Pro Tech, Ltd. (APT) [ST]	JT	05/25/2018	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Alpha Pro Tech, Ltd. (APT) [ST]	JT	09/24/2018	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
American New Perspective C [MF]	JT	03/14/2018	P	\$15,001 - \$50,000	
American New Perspective C [MF]	JT	04/5/2018	P	\$1,001 - \$15,000	
American New Perspective C [MF]	JT	08/14/2018	P	\$1,001 - \$15,000	
American Tax-Advantages Inc. C [MF]	JT	01/23/2018	P	\$15,001 - \$50,000	
Berkshire Hathaway Inc. New (BRK.B) [ST]	JT	05/25/2018	P	\$15,001 - \$50,000	
Berkshire Hathaway Inc. New (BRK.B) [ST]	JT	10/24/2018	P	\$15,001 - \$50,000	
Berkshire Hathaway Inc. New (BRK.B) [ST]	JT	10/30/2018	P	\$15,001 - \$50,000	
Columbia Contrarian Core C [MF]	JT	02/12/2018	P	\$1,001 - \$15,000	
Decatur Ala City Brd Ed Spl Tax Sch [GS]	JT	02/12/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Duke Energy Corporation (DUK) [ST]	JT	02/12/2018	P	\$15,001 - \$50,000	
Duke Energy Corporation (DUK) [ST]	JT	04/16/2018	P	\$15,001 - \$50,000	
Duke Energy Corporation (DUK) [ST]	JT	09/24/2018	P	\$15,001 - \$50,000	
Duke Energy Corporation (DUK) [ST]	JT	10/2/2018	P	\$15,001 - \$50,000	
Etowah Cnty Ala Brd Ed Cap Outlay [GS]	JT	01/23/2018	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Lee Enterprises, Incorporated (LEE) [ST]	JT	06/14/2018	P	\$1,001 - \$15,000	
Lee Enterprises, Incorporated (LEE) [ST]	JT	06/26/2018	P	\$15,001 - \$50,000	
Lee Enterprises, Incorporated (LEE) [ST]	SP	08/24/2018	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Lee Enterprises, Incorporated (LEE) [ST]	SP	08/27/2018	P	\$1,001 - \$15,000	
Lee Enterprises, Incorporated (LEE) [ST]	SP	10/15/2018	P	\$1,001 - \$15,000	
Lee Enterprises, Incorporated (LEE) [ST]	SP	11/27/2018	P	\$1,001 - \$15,000	
Lord Abbett High Yield C [MF]	JT	04/16/2018	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Mobile Cnty Ala Brd Sch Commrs [GS]	JT	01/23/2018	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
North Carolina CAP FACS FIN Agy Duke Univ [GS]	JT	05/8/2018	P	\$1,001 - \$15,000	
Oakmark International I [MF]	JT	10/2/2018	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Phenix City AL Sch Wts Genl Oblig [GS]	JT	01/23/2018	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Royce Special EQ Multicap Cons [MF]	JT	03/14/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Royce Total Return Con [MF]	JT	10/24/2018	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Royce Total Return Con [MF]	JT	10/30/2018	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Royce Total Return Inv [MF]	SP	10/15/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Royce Total Return Invs [MF]	SP	11/27/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
SPDR S&P Dividend [EF]	JT	12/19/2018	P	\$1,001 - \$15,000	
Tucows Inc. (TCX) [ST]		01/9/2018	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
VANGUARD TOTAL INTL STOCK ETF [EF]	JT	01/25/2018	P	\$1,001 - \$15,000	
Vanguard TTL STK MKT ETF [EF]		01/11/2018	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
VANGUARD TTL WRLD STK INDX [EF]		01/11/2018	P	\$1,001 - \$15,000	
Vanguard Wellesley Inc INV [EF]	SP	08/27/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>

\* For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

## SCHEDULE C: EARNED INCOME

None disclosed.

## SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Capital Hill Tower	January 2011	Underlying mortgage on cooperative unit	\$250,001 - \$500,000

## SCHEDULE E: POSITIONS

None disclosed.

## SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
April 2014	Morris J. Brooks, Jr. and Retirement Systems of Alabama	Brooks receives monthly retirement benefit payments as a result of his past employment with the State of Alabama and his contributions into the Retirement Systems of Alabama.

## SCHEDULE G: GIFTS

None disclosed.

## SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

None disclosed.

## SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

## EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

**IPO:** Did you purchase any shares that were allocated as a part of an Initial Public Offering?

☐ Yes ☒ No



**Trusts:** Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

☐ Yes ☒ No

**Exemption:** Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

☐ Yes ☒ No

## COMMENTS

## CERTIFICATION AND SIGNATURE

☒ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

**Digitally Signed:** Hon. Mo Brooks , 05/12/2019